



## Administrative Policies and Procedures: 31.5

<b>Subject:</b>	<b>Regional Child Case Files</b>
<b>Authority:</b>	TCA 37-5-105, 37-5-106, 37-04-101, 37-04-201 et seq, and P.L 109-239
<b>Standards:</b>	<b>DCS Practice Model Standard:</b> 7-102A
<b>Application:</b>	All Department of Children's Services Family Service Workers and Supervisory Employees

### Policy Statement:

All custodial, post-custody, non-custodial and aftercare child case files shall be maintained in a systematic manner and shall be safeguarded from unauthorized and improper disclosure of information.

### Purpose:

To ensure that child case files are protected, kept in an organized manner and contain all pertinent information required to effectively manage the case.

### Procedures:

<b>A. Confidentiality</b>	<ol style="list-style-type: none"><li>1. All child case files must be marked "<b>CONFIDENTIAL</b>" on the spine of the binder. All child case files must be stored out of public view.</li><li>2. The release of any child case file information must be in accordance with applicable laws and DCS policies and procedures.</li></ol>
<b>B. Case File Style and Maintenance</b>	<ol style="list-style-type: none"><li>1. A <b>working case file binder</b> will be started for all children who enter state custody, are placed on probation, aftercare, or are in post custody status. A working case file binder must also be started in cases involving a referral for placement and/or services under the Interstate Compact on the Placement of Children (ICPC) or Interstate Compact on Juveniles (ICJ). The working case file binder will include all the information on the child/youth for the custodial episode and any relevant post-custody or aftercare services.</li><li>2. All documents contained in the working case file binder will be maintained in a three (3) ring binder. There shall be only <b>one</b> tab per section over the course of any binders with additional volumes.</li><li>3. Child identification information will be placed on the spine of the binder. The child identification information will consist of:<ol style="list-style-type: none"><li>a) The child's TNKids ID#;</li><li>b) First NAME and last initial</li></ol></li></ol>

	<ol style="list-style-type: none"> <li>4. Information contained in the case file binder must be filed in chronological order with the most recent information located on top. Items are not to be filed according to the lists on the Regional Child Case File Cover Sheets, but in reverse chronological order for each section.</li> <li>5. Working case file binders will be organized according to <b>Section C</b> of this policy and will contain tab dividers to separate each section. The <b>Regional Child Case File Cover Sheets (CS-0725)</b> can be printed from the <u>Intranet</u>; <u>DCS Forms</u> for placement in front of the tabs to indicate the contents of each section in the child's working case file binder.</li> <li>6. All child case files will be maintained according to this policy and are subject to disposition according to DCS Records Disposition Authority (RDA) schedules.</li> <li>7. Non-custodial case files transferred to an FSW for on-going services will be organized and documented as outlined in DCS policy <u><a href="#">16.60 Multiple Response Services-Family Services Worker Responsibilities</a></u>.</li> </ol>
<b>C. File contents</b>	<p>Documents and forms utilized by the Department, court systems, and its partner agencies are revised and/or deleted more frequently than policies are revised. Therefore, while documents known to be under development at the release of this policy may be reflected, it is possible that child case files will contain different versions of forms.</p> <ol style="list-style-type: none"> <li>1. <u><a href="#">CS-0822, FACE COVER SHEET for REGIONAL CHILD CASE FILES</a></u>: (Any item that is not applicable to a case mark "N/A" beside that item; (<i>i.e.</i>, not every child will have an attorney; most juvenile justice children will not have a Guardian at Litem (GAL, etc.). Form <b>CS-0822</b> will be filed in the front of the case file binder.</li> <li>2. <b>RECENT PHOTOGRAPH OF CHILD</b>: A recent photograph of child will follow the <i>Face Cover Sheet for Regional Child Case Files</i>.</li> <li>3. <b>CHILD PROTECTIVE SERVICES (CPS)/PREVENTION SERVICES</b>: This section consists of, but is not limited to, copies of pertinent information obtained by the state during the discovery or investigative process regarding specific events or referrals concerning a child/family. The information below will be provided for the child's custodial case file but the original investigative file will remain intact and in the possession of the CPS investigator. Appropriate documentation for this section, depending on the circumstances of the case, may include the following: <ol style="list-style-type: none"> <li>a) CPS Referral or <u><a href="#">CS-0727, Initial Intake, Placement Referral and Checklist</a></u>;</li> <li>b) <u><a href="#">CS-0680, Child Protective Services Intake</a></u>;</li> <li>c) Dictation (chronology of CPS activities/TNKids case recordings);</li> <li>d) Forensic Interviews;</li> <li>e) Description of physical injuries/condition with accompanying photographs;</li> </ol> </li> </ol>

- f) Medical and/or psychological exams to document injuries;
  - g) Law enforcement reports;
  - h) Initial notifications to the District Attorney and the Judge;
  - i) Correspondence (police reports, out of state information, supportive documentation);
  - j) [CS-0740, CPS Investigation Summary and Classification Decision of Child Abuse/Neglect Referral](#);
  - k) [CS-0729, Child Abuse Review Team \(CART\)](#);
  - l) [CS-0561, Child Protective Investigative Team \(CIPT\) Review](#);
  - m) [CS-0701, Immediate Protection Agreement](#);
  - n) CPS Intake, Placement & Legal Referral Form;
  - o) [CS-0714, Checklist For Good Faith Attempt to Locate](#);
  - p) [CS-0635, Notice of Child Fatality/Near Fatality](#);
  - q) Special Investigation Unit Notification;
  - r) Prevention Services documentation;
  - s) Structured Decision Making/Risk Assessment Form(s);
    - ◆ Safety Assessment
    - ◆ Family Risk Assessment
    - ◆ Family Advocacy Support Tool (FAST) (those regions piloting this tool)
  - t) Due process notification letters to/from perpetrator/agency, including appeal summaries;
  - u) Notice of Protective Custody Form Letters
4. **LEGAL:** This section consists of, but is not limited to, all record information generated for or by the judiciary. Appropriate documentation for this section, depending on the circumstances of the case, may include the following:
- a) Prior record from the court;
  - b) Correspondence to and from the court;
  - c) Protective custody order(s);
  - d) Court report(s);
  - e) Affidavit of Reasonable Efforts;
  - f) Petitions;
  - g) Court orders (probation, custody, and/or guardianship);
  - h) Order(s) of reference;
  - i) Surrenders or Voluntary Placement Agreement ([CS-0651](#), [CS-0653](#), or [CS-0428](#));

- j) Copies of subpoenas;
  - k) [CS-0130, Release to Home Placement](#);
  - l) [CS-0587, Request For Public Notification of Release of Juvenile Offender](#);
  - m) [CS-0041, Notification of Proposed Home Placement, with attached Release Summary](#);
  - n) [CS-0046, Discharge](#) and Summary;
  - o) [CS-0004, Determinate Commitment Release Notification](#);
  - p) [CS-0006, Individual Student Commitment Reduction Credits](#);  
(Determinate Only);
  - q) [CS-0482, Notice of Proposed Trial Home Visit Unruly Child](#);
  - r) [CS-0156, Violation Report](#);
  - s) [CS-0043, Rules of Probation](#);
  - t) [CS-0012, Rules of Aftercare](#);
  - u) Court ordered safety plan of action;
  - v) [CS-0557, Detainer Notification](#);
  - w) Appeals/grievances;
  - x) [CS-0435, Request for Name and/or Address of Father a Child Born Out of Wedlock \(Putative Father Register\)](#);
  - y) [CS-0494, Notice and Motion-Dependant and Neglected](#);
  - z) [CS-0705, Absconder Recovery](#);
  - aa) [CS-0706, Absconder Recovery Runaway/Escapee Checklist](#);
  - bb) Absconder Harboring Letter;
  - cc) Absconder Notification of Parental Responsibility;
  - dd) [CS-0309, Notification of Program Transfer](#);
  - ee) [CS-0153, Predisposition Investigation](#);
  - ff) Pre-dispositional report;
  - gg) Indian Child Welfare Act correspondence
  - hh) [CS-0835, Client Rights Handbook Acknowledgement](#) (last page of the Client Rights Handbook)
5. **ASSESSMENT & VERIFICATION**: This section consists of, but is not limited to, information collected and utilized as the basis for all case management decisions made for families and children relative to the intensity of their level of care services. This section also includes documents issued by an authorized governmental or non-governmental entity. Appropriate documentation for this section, depending on the circumstances of the case, includes the following:

- a) Social security card;
  - b) Birth certificate;
  - c) Death certificate(s) of parent/legal guardian;
  - d) Marriage certificate of parent /legal guardian;
  - e) Divorce decrees of parent (s)/legal guardian;
  - f) Genogram, family map, eco map, and/or timeline;
  - g) Family Functional Assessment and/or Social History;
  - h) Child and Adolescent Needs and Strengths (CANS) Assessment;
  - i) Youth Level Services (YSL) Assessment;
  - j) [CS-0659, Community Risk Assessment](#);
  - k) Daniel Memorial Assessment Results AND/OR Ansell Casey Life Skills Assessment
  - l) [CS-0584, Checklist For Diligent Search Efforts for Placement Resources](#);
  - m) [CS-0559, Authorization for Release of Child-Specific Information](#);
  - n) [CS-0668, Authorization for Release of Information](#);
6. **PERMANENCY PLANNING:** This section consists of, but it not limited to, documentation regarding planning for a child's exit from custody to a permanent home and/or transitioning to adulthood. Appropriate documentation for this section, depending on the circumstances of the case, will consist of reasonable efforts/results by the department to return the child to the parents/caregivers and/or prepare the youth for adulthood, and may include the following:
- a) [CS-0577, Permanency Plan](#) (including justification form and notice of action);
  - b) [Permanency Plan Termination Criteria and Procedures](#);
  - c) [CS-0681, Request for Permanency Goal of Planned Permanent Living Arrangement](#);
  - d) [CS-0624, Child and Family Team Meeting Confidentiality Agreement](#);
  - e) [CS-0582, Individual Program Plan \(IPP\)](#); (probation/Aftercare);
  - f) [CS-0228, Individual Program Plan](#) (YDC/DCS GH);
  - g) [CS-0650, Independent Living Plan](#);
  - h) [CS-0230, Staffing Summary and Placement Justification](#);
  - i) [CS-0387, Staffing Participants](#) (YDC/DCS GH);
  - j) [CS-0747, Child & Family Team Meeting Summary](#);
  - k) [CS-0388, IPP Monthly Review](#) (YDC/DCS GH);
  - l) [CS-0225, Quarterly IPP Review](#) (YDC/DCS GH);

- m) [CS-0581, Community Services-Youth on Community Supervision;](#)
  - n) [CS-0606, Adoption & Safe Families Act \(ASFA\)/Utilization Review;](#)
  - o) [CS-0430, Quarterly Progress Report on Child in State Custody;](#)
  - p) [CS-0510, Foster Care Review Summary;](#)
  - q) [Interstate Compact on Juveniles Quarterly Progress Reports](#)  
(Probation/Aftercare);
  - r) [CS-0158, Notification of Equal Access to Programs;](#)
  - s) [CS-0192, Notice of Staffing](#) (YDC/DCS GH);
  - t) Meeting notification letters (i.e., CFTM, FCRB, Staffing, IEP, etc.)
  - u) Interdependent Living (IL) Referral;
  - v) [CS-0488, Rights and Responsibilities at Age 18;](#)
  - w) [CS-0505, IL Program Discharge Summary;](#) and/or
  - x) Refusal of Post Custody Services.
7. **DOCUMENTATION:** This section consists of, but is not limited to, information regarding significant events requiring official documentation and correspondence from other agencies. DCS monthly case recordings, as indicated per DCS Policy [31.14, Case Recordings for Foster Care, Adoption Services, and Juvenile Justice Cases,](#) are not required to be printed and filed in the child case files. However, hard copy recordings will be printed for the purposes of \*audits, court testimony, and when the case is submitted to archives following case closure and/or adoption finalization. Appropriate documentation for this section, depending on the circumstances of the case, may include the following:
- a) [CS-0496, Serious Incident Report;](#)
  - b) [CS-0311, Incident Report](#) (YDC);
  - c) [CS-0203, Youth Behavioral Minor Incident Report](#) (YDC);
  - d) [CS-0303, Minor Incident Report for Youth](#) (DCS GH);
  - e) [CS-0296, Notice Of Apprehension;](#)
  - f) [CS-0226, Classification Report Cover Sheet, Summary and Narrative;](#)
  - g) Special Conditions on Court Orders-proof of completion;
  - h) [CS-0594, Visitation Observation Checklist;](#)
  - i) Private Provider Reports;
  - j) Group Home Reports;
  - k) YDC Reports;
  - l) [CS-0330, Mechanical Restraint Report](#)
  - m) [CS-0351, Transportation Request](#)
  - n) [CS-0394, Youth Pass Request](#) (YDC/DCS GH);

- o) Youth Pass Requests-Private Provider Agency Request;
  - p) Therapy Progress Notes, as it pertains to the parent/caregiver
  - q) Crisis response documentation/Mobile Crisis Reports, as it pertains to the parent/caregiver
  - r) Counseling Reports, as it pertains to the parent/caregiver
  - s) Substance Abuse Screening Documentation, as it pertains to the parent/caregiver
  - t) Drug Test Reports, as it pertains to the parent/caregiver
  - u) Parenting Reports;
  - v) Homemaker Reports; and/or
  - w) Day Care Reports
  - x) Case Recordings (\*when required as specified above)
8. **HEALTH (Child Only):** This section consists of, but is not limited to, health information describing or related to the emotional and physical health of a child/youth. Health information shall be maintained confidentially and used or disclosed only as allowed by law or applicable DCS policies and procedures. Appropriate documentation for this section, depending on the circumstances of the case, may include the following:
- a) Immunization records;
  - b) Medical birth history;
  - c) Primary Care Provider (PCP) letter regarding EPSDT Results;
  - d) [CS-0689, Health Services Confirmation and Follow-up Notification](#);
  - e) Psychiatric/psychological evaluations;
  - f) Psychiatric/medical hospitalization information;
  - g) Therapy and/or counseling reports;
  - h) Crisis response documentation/Mobile Crisis Reports;
  - i) [CS-0206, Authorization to Routine Health Services For Minors](#);
  - j) [CS-0627, Informed Consent for Psychotropic Medication](#);
  - k) [CS-0628, Request for Prior Approval of PRN Psychotropic Medication](#);
  - l) [CS-0629, Psychotropic Medication Evaluation](#);
  - m) Informed Consent for Non-routine Health Services for Minors
  - n) Informed Consent for Surgical Procedures
  - o) [CS-0593, Medication Observation Record](#);
  - p) [CS-0630, Resource Home Prescription Medication Record](#);
  - q) [CS-0543, Well Being Information and History](#);



- r) [TennCare Medical Appeal](#); (if filed)
  - s) *Alcohol and Drug Assessments*
  - t) *Alcohol and Drug treatment documentation, including any drug screens*
  - u) [CS-0699, HIPAA Notice of Privacy Practices-Client Acknowledgement](#);
  - v) [CS-0093, Release from Medical Responsibility](#);
  - w) Any additional Medical report/documentation.
9. **EDUCATION:** This section consists of, but is not limited to, information describing or related to the process of the child attending or receiving formal school training. Appropriate documentation for this section, depending on the circumstances of the case, may include the following:
- a) [CS-0657, Education Passport](#) Face Sheet and associated documents (e.g., school enrollment letter, report cards, IEP, transcript, eligibility report, suspension and expulsion notices, etc.);
  - b) School enrollment letter per DCS Policy [21.19, Education Passport](#);
  - c) [CS-0703, Adjudication Notification to Schools](#);
  - d) Report Cards;
  - e) Transcript (including all coursework completed) including last grade completed;
  - f) Copies of TCAP score reports/labels: (Achievement scores for elementary/middle school age and TCAP Gateway scores for high school age);
  - g) Attendance Records;
  - h) Discipline Records: (Discipline reports, suspension notices, suspension appeals, expulsion notices, expulsion appeals);
  - i) Special Education Eligibility Report;
  - j) Special Education Psycho-educational Evaluation;
  - k) Individual Education Plan (IEP) for special education students;
  - l) Section 504 Student Service Plan for students receiving 504 services; and/or
  - m) Individual family service plan for disabled children age birth to three for children receiving services through TN Early Intervention System (TEIS).
  - n) [CS-0599, Application for Post Secondary Funding](#);
10. **FINANCIAL, BENEFITS & EXPENSES:** This section consists of, but is not limited to, information regarding the types of financial benefits or services provided to the child/family. It also includes information collected and utilized as the basis for all decisions related to a child's eligibility for Title IV-E and Medicaid/TNCare, and other possible sources of funding for the child. This section also includes information documenting referrals for child support, Social Security, SSI, VA, etc. for the child, if appropriate. Appropriate



documentation of financial benefits and/or determinations of eligibility typically include the following:

- b) [CS-0475, Child Welfare Benefits Application](#)
- c) [CS-0477, Child Welfare Benefits Re-determination](#)
- d) FA-0848, Notice Of Child Welfare Benefits Summary;
- e) Insurance Card (TennCare or private insurance);
- f) Any Medicaid or additional insurance information/verification;
- g) [CS-0533, Medical Services Authorization for Non-TNCare Eligible Children](#);
- h) [CS-0476, Notification of a Change in Circumstances](#);
- i) Request for collective fund account balances;
- j) Medical, dental and psychological bills;
- k) Title IV-D (child support); IV-D worksheet;
- l) Social Security Administration (SS) and/or Veterans Administration (VA) benefits documentation;
- m) Black lung forms;
- n) Copies of [CS-0540, Clothing Purchase Authorization](#) and Receipt(s)
- o) [CS-0762, Interdependent Living Allowance Agreement](#);
- p) Flexible Funding for Families and/or Purchase Service Goods form
- q) Paycheck Stubs;
- r) Broker Daycare Referrals
- s) ACH form Direct Deposit ([FA-0825, Automated Clearinghouse Credits](#));
- t) [Substitute W-9](#) (as it relates to flex funds and/or Purchased Service Goods)

11. **PLACEMENT/ADOPTION/GUARDIANSHIP**: This section consists of information related to the efforts made to secure a permanent placement, or an adoptive placement for a child who will be placed for adoption or documents related to the child's current/most recent adoptive placement. Although most these documents will only be present for a short time before a child reaches permanence, appropriate documentation for this section, depending on the circumstances of the case, may include the following:

- a) [CS-0695, REACT Child Entry Information](#);
- b) [CS-0696, React Child Status Information](#);
- c) Individual Recruitment Plan;
- d) Copy of Child's Profile (Used for recruitment);
- e) Pre-placement Summary;
- f) Presentation Summary;

- g) Approval to Separate Siblings for the Purpose of Adoption;
  - h) [CS-0460, Intent to Adopt and Application for Adoption Assistance;](#)
  - i) [CS-0513, Adoption Assistance Agreements on or After October 1, 1997;](#)
  - j) [CS-0461, Adoption Assistance Agreements Prior to October 1, 1997;](#)
  - k) Approval for Non-recurring Adoption Assistance Expenses;
  - l) Documentation of Child's Special Needs;
  - m) [CS-0682, Expedited Placement Assessment Summary;](#)
  - n) [CS-0565, Daily Rate Child Placement Contract;](#)
  - o) Foster Home Placement Checklist
  - p) Child Placement Referral Form,
  - q) [CS-0586, Statement of Objection to Termination from Community Residential Program](#)
  - r) [CS-0111, Approved Contact List](#)
  - s) [CS-0585, Appeal of placement denials in YDCs and Group Homes and or Appeal of Terminations from DCS group homes](#)
  - t) [CS-0450, Notice for Removal of a child from Resource Home](#)
  - u) [CS-0674, Special or Extraordinary Rate Request;](#)
  - v) [CS-0656, Supplemental Respite Authorization and Billing;](#)
  - w) Authorization for out of state travel for foster parents
  - x) [CS-0719, Intent to Obtain Permanent Guardianship Placement Agreement \(Part 1\) and Application for Subsidized Permanent Guardianship \(Part 2\);](#)
  - y) [CS-0721, Subsidized Permanent Guardianship Agreement;](#)
  - z) CHipFinS Printout Ending Foster Care Board Payment;
  - aa) Copy of Letter to Contact Attorney;
  - bb) Adoption Petition;
  - cc) Order of Reference;
  - dd) Final Adoption Court Report packet: (court report, consent to adopt, new birth certificate application, letter to clerk);and/or
  - ee) Final Decree of Adoption.
12. **INTERSTATE COMPACT ON THE PLACEMENT OF CHILDREN (ICPC)/ INTERSTATE COMPACT ON JUVENILES (ICJ)**: This section contains required documents related to the child/family welfare service requests for inter-jurisdictional placements for foster care or as a preliminary to an adoption as defined (ICPC) or placements made for children adjudicated delinquent (ICJ). Appropriate documentation for this section, depending on

the circumstances of the case, may include the following:

- a) Referral Request for Interstate Placement Services;
- b) [CS-0525, ICPC 100A Interstate Compact Placement Request](#);
- c) ICPC Intake Reference (includes TN Kids and ICPC Intake #);
- d) [CS-0523, ICPC 100B Interstate Compact Report on Child's Placement Status](#);
- e) ICPC 101, Sending State's Priority Home Study Request;
- f) All reports or resource home studies, which provide the basis for a decision regarding placement and/or termination of each ICPC request;
  - ◆ Parent, relative, non-relative, foster or adoptive studies and their appropriate attachments;
  - ◆ Licensure documents;
  - ◆ Progress reports; and
  - ◆ Discharge summaries
- a) Any court orders or pertinent documents issued from a state other than Tennessee; and/or
- b) Financial Medical Plan (including documentation of the current/most recent status of the child's Title IV-E eligibility under the Federal Social Security Act).
- c) Cover Letter requesting Interstate Compact Services;
- d) [Interstate Compact on Juveniles \(ICJ\) Form I](#) Requisition for Runaway Juvenile/Child Removed from Jurisdiction of Court;
- e) [ICJ Form II](#) Requisition for Escapee/Absconder/Juvenile Charged with Being Delinquent;
- f) [ICJ Form III](#) Consent for Voluntary Return by Runaway, Escape or Absconder or Juvenile Charged as Delinquent;
- g) [ICJ Form V](#) Report of Sending State upon Parolee or Probationer being sent to the Receiving State;
- h) [ICJ Form A](#) Petition for Requisition to Return a Runaway Juvenile;
- i) [ICJ Juvenile Rights](#) – Rights for Voluntary Return of Runaway, Absconder, Escapee or Juvenile being Charges as Delinquent;
- j) [ICJ Form IA/VI](#) Application for Compact Services and Waiver;
- k) [ICJ Form IV](#) Probation or Parole Investigation Request; and/or
- l) [ICJ Home Evaluation Report](#) or Home Evaluation Report (the ICJ form is an optional form, some states do not use it but there will be a report entitled home investigation report on cases entering or leaving TN for supervision).

13. **MISCELLANEOUS/CORRESPONDENCE:** Information that is pertinent to the case but not identified by policy will be filed in this section. Examples of such

	<p>information are provided below.</p> <ul style="list-style-type: none"><li>a) <a href="#"><u>CS-0638, Case Transfer List</u></a></li><li>b) Electronic Monitoring Form;</li><li>c) Request for Formal File Review Letters;</li><li>d) <a href="#"><u>CS-0328, Youth Grievance Report Probation Aftercare</u></a>; and or</li><li>e) Other Correspondence, not related to other areas</li></ul>
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<b>Forms:</b>	<a href="#"><u>CS-0822, Face Cover Sheet for Regional Child Case Files</u></a> <a href="#"><u>CS-0725, Regional Child Case File Cover Sheets</u></a>
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<b>Collateral Documents</b>	<a href="#"><u>DCS Policy 31.14, Case Recordings for Foster Care, Adoption Services, and Juvenile Justice Cases</u></a>
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<b>Glossary:</b>	
<b>Term</b>	<b>Definition</b>
<b>Working case file binder:</b>	A working case file binder holds all pertinent information on children/families and is started and maintained in a systematic manner while in DCS Custody.